

<b>Form PTO-1449</b>  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <i>(Use several sheets if necessary)</i>				<b>Docket Number:</b> 204552032700		<b>Application Number</b> Not Yet Assigned	
				<b>Applicant</b> Shuichi HIRUKAWA et al.			
				<b>Filing Date</b> March 26, 2004		<b>Group Art Unit</b> Not Yet Assigned	
				<b>Mailing Date</b> March 26, 2004			
<b>U.S. PATENT DOCUMENTS</b>							
<b>Examiner Initials</b>	<b>Ref. No.</b>	<b>Date</b>	<b>Document No.</b>	<b>Name</b>	<b>Class</b>	<b>Subclass</b>	<b>Filing Date If Appropriate</b>
<b>FOREIGN PATENT DOCUMENTS</b>							
<b>Examiner Initials</b>	<b>Ref. No.</b>	<b>Date</b>	<b>Document No.</b>	<b>Country</b>	<b>Class</b>	<b>Subclass</b>	<b>Translation YES NO</b>
	TVR	1.	10-8-1999	11-274644	Japan		Abstract
		2.	1-6-1998	10-4237	Japan		Abstract
		3.	8-10-1999	11-220224	Japan		Abstract
		4.	3-20-2003	2003-86902	Japan		Abstract
<b>OTHER DOCUMENTS</b> <span style="float: right;"><i>(including author, title, Date, Pertinent Pages, Etc.)</i></span>							
<b>Examiner Initials</b>	<b>Ref. No.</b>	<b>Title</b>					
<div style="display: flex; justify-content: space-between;"> <div> <b>EXAMINER:</b> /Tod Van Roy/ (05/15/2006)         </div> <div> <b>DATE CONSIDERED:</b> </div> </div>							
<b>EXAMINER:</b> Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.							


IDS - 03/26/2004

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PATENT  
Docket No. 204552032700

**CERTIFICATE OF HAND DELIVERY**

I hereby certify that this correspondence is being hand filed with the United States Patent and Trademark Office in Alexandria, Virginia on March 26, 2004.



Ayisha M. Roberts

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the application of:

Shuichi HIRUKAWA et al.

Serial No.: New Application

Filing Date: March 26, 2004

For: SEMICONDUCTOR LASER DEVICE  
AND METHOD OF PRODUCING THE  
SAME, AND OPTICAL DISC UNIT

Examiner: To Be Assigned

Group Art Unit: To Be Assigned

**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR 1.97 & 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 CFR 1.56, the attention of the Patent and Trademark Office is hereby directed to the documents listed on the attached PTO/SB/08. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the document be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is being filed together with the application accordingly, no fee is due.

A copy of the documents listed on the PTO/SB/08 is attached.

While the information and document disclosed in this Information Disclosure Statement may be "material" pursuant to 37 CFR 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists. It is submitted that the Information Disclosure Statement is in compliance with 37 CFR 1.98 and the Examiner is respectfully requested to consider the listed documents.

In the event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicants petition for any required relief including extensions of time and authorize the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing **204552032700**.

Dated: March 26, 2004

Respectfully submitted,

By: 

Barry E. Bretschneider  
Registration No. 28,055

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DFW

Patent  
Docket No. 204552032700

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Shuichi HIRUKAWA et al.

Serial No.: 10/809,788

Filing Date: March 26, 2004

For: SEMICONDUCTOR LASER DEVICE AND  
METHOD OF PRODUCING THE SAME, AND  
OPTICAL DISC UNIT

Examiner: Not Yet Assigned

Group Art Unit: Unassigned

Confirmation No.: 7156

**SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT**

MS Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO/SB/08a/b. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

The documents listed on the attached Form PTO/SB/08a/b were cited in a Chinese Office Action mailed on November 11, 2005, directed to a counterpart foreign application. A certification under 37 C.F.R. § 1.97(e)(1) follows:

I hereby certify that each item of information was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Supplemental Information Disclosure Statement.

va-148311

Applicants would like to note to the Examiner that JP 11-274644 cited in the Office Action was previously submitted with an Information Disclosure Statement on March 26, 2004; and therefore, is not submitted herewith.

This Supplemental Information Disclosure Statement is submitted before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required. However, if applicable, a certification under 37 C.F.R. § 1.97 (e)(1) has been provided.


Applicants would appreciate the Examiner initialing and returning the Form PTO/SB/08a/b, indicating that the information has been considered and made of record herein.

The information contained in this Supplemental Information Disclosure Statement under 37 C.F.R. § 1.97 and § 1.98 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal form is separated from this document and the Patent and Trademark Office determines that an extension and/or other relief (such as payment of a fee under 37 C.F.R. § 1.17 (p)) is required, Applicants petition for any required relief including extensions of time and authorize the Commissioner to charge the cost of such petition and/or other fees due in connection with the filing of this document to Deposit Account No. 03-1952 referencing (204552032700).

Dated: January 9, 2006

Respectfully submitted,

By   
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ALTERNATIVE TO PTO/SB08a/b (07-05)

<b>Substitute for form 1449/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/809,788	
			Filing Date	March 26, 2004	
			First Named Inventor	Shuichi HIRUKAWA	
			Art Unit	Not yet assigned	
Examiner Name	Not yet assigned				
Attorney Docket Number	204552032700				
Sheet	1	of	1		

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>2</sup> -Number <sup>3</sup> -Kind Code <sup>4</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
TVR	1.	JP-2000-77783	3-14-2000	NEC Corp	translation of abstract only	

\*EXAMINER: Initial if information considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
TVR	2.	Chinese Office Action mailed November 11, 2005, directed to CN Application No. 200410059538.6	✓

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature	/Tod Van Roy/ (05/15/2006)	Date Considered	
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va-148314